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Attorneys for the United States

**IN THE UNITED STATES DISTRICT COURT
FOR THE DISTRICT OF ARIZONA**

United States of America,

Plaintiff,

vs.

James B. Panther, Jr.,
a/k/a “James Suqui” and “James Suquilanda,”

Defendant.

Case No. 2:19-CR-448-2

EXPERT DISCLOSURE

Pursuant to the Court’s Scheduling Order entered November 12, 2019, and Federal Rule of Evidence 702, the United States of America, by and through the undersigned counsel, hereby provides its initial expert witness disclosure.

The government intends to call Alexander Scoufis of the Financial Industry Regulatory Authority (“FINRA”). Mr. Scoufis joined FINRA in 2015 in the Office of Fraud Detection and Market Intelligence. He has served as an attorney with FINRA’s Criminal Prosecution Assistance Group since 2016. Mr. Scoufis’s resume is attached as Exhibit A.

At trial, Mr. Scoufis is expected to provide background testimony on the matters set forth in paragraphs 20 through 31 of the Indictment (ECF No. 3). In particular, Mr. Scoufis is expected

1 to testify regarding the following topics: (a) background information about the nature, structure,
2 and regulation of the securities market; (b) the Security and Exchange Commission's ("SEC") and
3 FINRA's roles in regulating public companies; (c) general securities industry terms; (d) disclosure
4 requirements of public companies with the SEC; (e) documents required to be filed with the SEC
5 to comply with these disclosure requirements; (f) the securities registration process and the
6 documents and disclosures required to be filed with the SEC in connection with said process; and
7 (g) types of manipulative trading, including "pump and dump" stock swindles.
8

9 He will also define various terms for the jury, including public company, issuer, officer,
10 board of directors, shareholder, "OTCBB," "OTC Markets," "Pink sheets," reverse merger, shell
11 company, securities, shares, stocks, restricted securities/shares, control securities/shares, free-
12 trading securities/shares, microcap securities/shares, penny securities/shares, stock certificate,
13 restrictive legend, stock split, affiliate, control person, promoter, opinion letter, transfer agent,
14 "match" and "wash" trades, "setting the floor," and "Blue sheets." Mr. Scoufis may define other
15 terms that arise throughout the trial.
16

17 In addition to testifying regarding the securities market generally, Mr. Scoufis is also
18 expected to summarize the trading prices and volumes of Biozoom, Inc. ("Biozoom") stock.
19 Relying on public trading records, "Blue sheet" data, transfer agent records, and memoranda of
20 interview for relevant witnesses, *inter alia*, he is expected to describe Biozoom trading as it relates
21 to Biozoom press materials and advertisements released to the public; Biozoom's ownership
22 structure—who owned and controlled how many shares—throughout the conspiracy; and trades
23 placed by the defendants, their coconspirators, entities or "nominees" controlled by the defendants
24 and their coconspirators, and any other individuals associated with the fraudulent scheme.
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26

27 In connection with his testimony, Mr. Scoufis will be preparing a series of summary charts
28

1 summarizing the trading activity and ownership structure and control of Biozoom shares, which
2 the government will provide in advance of trial.

3 The proposed testimony may properly be deemed fact witness testimony, as opposed to
4 expert testimony. This Notice is being provided in an abundance of caution to the extent Mr.
5 Scoufis's testimony is deemed that of an expert.

6 Dated: January 22, 2020

7
8 Respectfully submitted,

9 ROBERT ZINK
10 Chief, Fraud Section

11 By: /s/ Michelle Pascucci
12 Tracee Plowell, Assistant Chief
13 Michelle Pascucci, Trial Attorney
14 Fraud Section, Criminal Division
15 U.S. Department of Justice
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CERTIFICATE OF SERVICE

I HEREBY CERTIFY that, on January 22, 2020, I electronically filed the foregoing document with the Clerk of the Court using CM/ECF, which will send notification to counsel of record.

Respectfully submitted,

BY: /s/ Michelle Pascucci